

<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>				<b>Docket Number</b> 03-1077		<b>Application Number</b> 10/824,954	
				<b>Applicant</b> Stephen M. DRUMMOND			
				<b>Filing Date</b> April 14, 2004		<b>Group Art Unit</b> 3689	

  

U.S. PATENT DOCUMENTS							
Examiner Initials	Cite No.	Document Number	Date	Name of Patentee	Class	Sub-Class	Filing Date
	/H.R./	4,731,575	3/15/1988	Sloan			
		4,750,119	6/7/1988	Cohen et al.			
		5,237,507	8/17/1993	Chasek			
		5,297,026	3/22/1994	Hoffman			
		5,519,622	5/21/1996	Chasek			
		5,532,928	7/2/1996	Stanczyk et al.			
		5,621,654	4/15/1997	Cohen et al.			
		5,664,112	9/2/1997	Sturgeon et al.			
		5,696,695	12/9/1997	Ehlers et al.			
		5,726,884	3/10/1998	Sturgeon et al.			
		5,794,212	8/11/1998	Mistr, Jr.			
		5,894,422	4/13/1999	Chasek			
		5,915,244	6/22/1999	Jack et al.			
		5,924,486	7/20/1999	Ehlers et al.			

  

FOREIGN PATENT DOCUMENTS							
Examiner Initials	Cite No.	Foreign Patent Document	Date	Country	Class	Sub-Class	Translation
/H.R./		WO 03/058386	7/17/2003	PCT			
/H.R./		WO 03/058385	7/17/2003	PCT			

  

NON PATENT LITERATURE DOCUMENTS		
Examiner Initials	Cite No.	Author, Title, date, pages, volume, publisher, city and/or country where published
	/H.R./	Copy of U.S. Patent Application Serial No. 11/204,825, entitled "Systems and Methods for Electronic Trading of Carbon Dioxide Equivalent Emission Reductions", filed August 16, 2005 in the name of Carlton Bartels et al., (Attorney Docket No. 01-1039-1).
		Chinn, Lily N., "Can the Market Be Fair and Efficient? An Environmental Justice Critique of Emissions Trading", 26 Ecology L.Q. 80 (1999).
		Driesen, David, "Is Emissions Trading an Economic Incentive Program?: Replacing the Command and Control/Economic Incentive Dichotomy", 55 Wash & Lee L. Rev. 289 (1998).
		Gorrell M., "Taking Pollution to the 'Blank' Pays Dividends Program Offers Utah Firms a Reward for Cleaning Up", The Salt Lake Tribune, May 29, 1995, at D3.
		Holly, Chris, "EC Moves on Greenhouse Emissions Trading Plan", The Energy Daily, 28 (53), Mar. 2000.

  

<b>Examiner Signature</b>	<b>Date Considered</b>
---------------------------	------------------------

<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>				<b>Docket Number</b> 03-1077		<b>Application Number</b> 10/824,954	
				<b>Applicant</b> Stephen M. DRUMMOND			
				<b>Filing Date</b> April 14, 2004		<b>Group Art Unit</b> 3689	
<b>U.S. PATENT DOCUMENTS</b>							
Examiner Initials	Cite No.	Document Number	Date	Name of Pateatee	Class	Sub-Class	Filing Date
↓	/H.R./	5,930,773	7/27/1999	Crooks et al.			
		5,962,989	10/5/1999	Baker			
		6,067,549	5/23/2000	Smalley et al.			
		6,169,979	1/2/2001	Johnson et al.			
		6,256,640	7/3/2001	Smalley et al.			
		6,678,620	1/13/2004	Tamai et al.			
		6,904,336	6/7/2005	Raines et al.			
		2002/0035496	3/21/2002	Fukushima et al.			
		2002/0040356	4/4/2002	Gluck et al.			
		2002/0178047	11/28/2002	Or et al.			
		2003/0055665	3/20/2003	Fleming			
		2003/0085179	5/8/2003	Kim et al.			
		2003/0101062	5/29/2003	Taber, Jr.			
		2003/0110116	6/12/2003	Inubushi			
	<b>FOREIGN PATENT DOCUMENTS</b>						
Examiner Initials	Cite No.	Foreign Patent Document	Date	Country	Class	Sub-Class	Translation
<b>NON PATENT LITERATURE DOCUMENTS</b>							
Examiner Initials	Cite No.	Author, Title, date, pages, volume, publisher, city and/or country where published					
/H.R./		Jarman, M., "Utilities Set for Pinch in Resources", The Arizona Republic, Dec. 2000, at B1.					
↓		Pallasch, Abdon M., "City to Receive Millions from HUD to Reclaim Brownfields; 5 Industrial Locations Expected to Attract New Factories, Jobs", Chi. Trib., Nov. 17, 1998, at 5.					
		Porter, N., "Legislators Begin Emissions Talks Resolution Sought to Untangle Conflict", Bangor Daily News, August 4, 1994.					
		Rosenfeld, Arthur et al., "Policies to Reduce Heat Islands: Magnitudes of Benefits and Incentives to Achieve Them", Proceedings of the ACEEE Summer Study on Energy Efficiency in Buildings, Vol. 9 (1996) at 177.					
		"Cold Facts on Hot Topic", The Calgary Sun, Nov. 18, 2000, at SE3.					
<b>Examiner Signature</b>					<b>Date Considered</b>		

<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>				<b>Docket Number</b> 03-1077		<b>Application Number</b> 10/824,954	
				<b>Applicant</b> Stephen M. DRUMMOND			
				<b>Filing Date</b> April 14, 2004		<b>Group Art Unit</b> 3689	
<b>U.S. PATENT DOCUMENTS</b>							
<b>Examiner Initials</b>	<b>Cite No.</b>	<b>Document Number</b>	<b>Date</b>	<b>Name of Patentee</b>	<b>Class</b>	<b>Sub-Class</b>	<b>Filing Date</b>
/H.R./		2003/0229572	12/11/2003	Raines et al.			
/H.R./		6,709,330	3/23/2007	Klein et al.			
<b>FOREIGN PATENT DOCUMENTS</b>							
<b>Examiner Initials</b>	<b>Cite No.</b>	<b>Foreign Patent Document</b>	<b>Date</b>	<b>Country</b>	<b>Class</b>	<b>Sub-Class</b>	<b>Translation</b>
<b>NON PATENT LITERATURE DOCUMENTS</b>							
<b>Examiner Initials</b>	<b>Cite No.</b>	<b>Author, Title, date, pages, volume, publisher, city and/or country where published</b>					
/H.R./		"EPSA Says California Discourages Generators", Generation Week, 2 (44), Nov. 1, 2000.					
↓		"EPSA: Don't Exclude New Plants from Nox Trading", The Electricity Daily, 9 (108), Dec. 5, 1997.					
		"Green Power is too Gray", Electric World, 211 (5), May 1997, at 44.					
		"Climate Change: A Backgrounder; Petroleum Communication Foundation", Oilweek, 45 (46), Nov. 14, 1994, at S1.					
		"Indiana House Passes bill Allowing Pre-Approval of Compliance costs", Utility Environment Report, Apr. 19, 1991, at 3.					
		"SCAQMD Proposes Adding Natural Gas Cuts to Its Reclaim Trading Program", Utility Environment Report, May 27, 1994, at 9.					
		"Waffling on Warming: Canda Has No Clear Policy on Climate Change", Calgary Herald, Mar. 2, 1998, at A16.					
		California Energy Commission, "1999 Electricity Generation Emissions Report", Ju. 1999.					
		"Green Light", The National Journal, 25 (24), Jun. 12, 1993, at 1421.					
↓		"Canada's first greenhouse gas emission reduction exchange opens", Oil and Gas Inquirer, v12:7, July 2000, at 40-41.					
<b>Examiner Signature</b>					<b>Date Considered</b>		

<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>				<b>Docket Number</b> 03-1077		<b>Application Number</b> 10/824,954	
				<b>Applicant</b> Stephen M. DRUMMOND			
				<b>Filing Date</b> April 14, 2004		<b>Group Art Unit</b> 3689	
<b>U.S. PATENT DOCUMENTS</b>							
<b>Examiner Initials</b>	<b>Cite No.</b>	<b>Document Number</b>	<b>Date</b>	<b>Name of Patentee</b>	<b>Class</b>	<b>Sub-Class</b>	<b>Filing Date</b>
<b>FOREIGN PATENT DOCUMENTS</b>							
<b>Examiner Initials</b>	<b>Cite No.</b>	<b>Foreign Patent Document</b>	<b>Date</b>	<b>Country</b>	<b>Class</b>	<b>Sub-Class</b>	<b>Translation</b>
<b>NON PATENT LITERATURE DOCUMENTS</b>							
<b>Examiner Initials</b>	<b>Cite No.</b>	<b>Author, Title, date, pages, volume, publisher, city and/or country where published</b>					
/H.R./		Colton et al., "Keys to Successful Carbon Dioxide Market: Program Structure and Secondary Trading", Energy Efficiency and Global Environment - Biennial conference, 1995, at 61-74.					
/H.R./		"Cantor Fitzgerald and PricewaterhouseCoopers to Create Global Hub of Carbon Commerce: Market to be Powered by B2B Leader, eSpeed", Business Wire, October 17, 2000.					
/H.R./		Copy of U.S. Patent Application Serial No. 09/967,375, entitled "Systems and Methods for Electronic Trading of Carbon Dioxide Equivalent Emission Reductions", filed September 28, 2001 in the name of Carlton Bartels et al., (Attorney Docket No. 01-1039)					
<b>Examiner Signature</b>	/Heidi Riviere/				<b>Date Considered</b>	02/02/2009	